

September 8, 2005  
RFP 05-11

**EAC INFORMATION MANAGEMENT ANALYSIS AND RECORDS  
MANAGEMENT POLICIES AND PROCEDURES**

**PROPOSAL INSTRUCTIONS**

All proposals shall be submitted electronically to Nicole Mortellito ([nmortellito@eac.gov](mailto:nmortellito@eac.gov)) by 12:00 noon (Eastern Time) on September 14, 2005. Microsoft Word 2000 or above, Excel, and Microsoft Project are the required document formats. Technical and Cost Proposals shall be submitted as separate files.

**TECHNICAL PROPOSAL INSTRUCTIONS**

In the Technical Proposal, bidders are requested to state each numbered item below, followed by the response to that item. All proposals should be as brief as possible. Please note there are page limitations for some items. Any additional materials submitted will not be considered in the evaluation.

1. Provide a project work plan that describes how the Contractor will accomplish each of the project tasks. The plan must include a PERT or Gantt chart showing major activities and milestones. Assume a project start date of September 26, 2005. The work plan should discuss each task beginning with 4.0, Specific Tasks. This plan should include a discussion of the methodology that will be used for the analysis and plan development activities. A Work Breakdown Structure should be included, along with a matrix of personnel proposed for each task. Provide a one page experience summary for all senior project personnel indicating the relevance of their experience to this work.
2. Provide 2-3 examples of comparable analysis performed by your organization in the past five years. Describe how this work is relevant to the EAC effort. Include the name of the project, the sponsor, the sponsor's project manager with telephone and e-mail contact information, period of performance, and value of the award. A comparable analysis example should show that the Contractor has a demonstrated knowledge and experience with conducting compliance, agreed upon terms, and requirements analysis for Federal agency records management programs in keeping with as many of the following statutes and regulations as possible: Part 102-193 of the General Service Administration's Federal Management Regulation; Chapter 12 of the National Archives and Records Administration Code of Federal Regulations; Federal Acquisition Regulations; Paperwork Reduction Act; Administrative Procedures Act; the Freedom of Information Act;

and any other federal laws governing document retention. Limited to 2 pages per example.

3. Provide a brief description of the Project Manager qualifications relative to managing and performing the types of activities described in the Statement of Work. Provide 2-3 examples of comparable work performed in the past five years, with a description of the specific responsibilities of the Project Manager. Include the name of the project, the sponsor, the sponsor's project manager with telephone and e-mail contact information, period of performance, and value of the award. Limited to 2 pages per example. Provide a current resume. The Project Manager is classified as key personnel for this contract.
4. Discuss what you consider to be the three biggest risks for the successful completion of this project, and why they are a risk. Describe how you plan to manage these risks. Limited to 5 pages.
5. Discuss the five reasons that your organization is the best qualified candidate to perform this work. Limited to three pages.

## **COST PROPOSAL INSTRUCTIONS**

You must provide the following information on the first page of the cost proposal:

1. RFP number
2. Date of submission
3. Name and address of offeror
4. Employer's Identification Number (tax ID #)
5. Point of contact name, telephone, FAX, and email address
6. Remittance address, if different from contractor address
7. Classification of business (E.g., small business; other than small business; small disadvantaged business; small woman-owned business. Indicate if self-identified or officially designated by Small Business Administration.)
8. Type of business organization (E.g., corporation, partnership, sole proprietorship)
9. Cognizant Federal Contract Audit Agency (if applicable)
10. Whether your organization is subject to cost accounting standards
11. Payment terms, e.g., monthly, upon completion of deliverables. Provide a completed and signed EFT form for electronic payment. This form can be obtained from Nicole Mortellito and is included in attachment form on the initial e-mail you received regarding this RFP. For copies please e-mail Nicole at [NMortellito@eac.gov](mailto:NMortellito@eac.gov).
12. Proposed cost
13. Name, title, and signature of individual authorized to commit organization

Provide the breakdown of the following basic cost elements, as applicable, beginning on the second page of the cost proposal:

1. Direct labor – Provide a monthly breakdown of labor hours, rates, and total cost by appropriate labor category, based on your internal cost accounting system. For proposal purposes provide the cost for one full time equivalent for two months for task 4.3.
2. Subcontracts – List each subcontract, the services obtained, and the amount. If any one subcontract exceeds \$100,000, you must include the subcontractor cost proposal as an appendix.
3. Other Costs – Provide total cost estimate by category: e.g., travel, computer charges, consultant services, etc.
4. The EAC will cover the costs associated with the Public Hearings.

## **EVALUATION CRITERIA**

These are the criteria and assigned values that will be used by the Source Selection Panel to evaluate the technical proposals. Cost proposals will be evaluated on a best value to the government basis.

1. Demonstrated understanding of the issues associated with Records Management. (25 points)
2. Demonstrated ability to develop policy recommendations on Records Management. (10 points)
3. Demonstrated ability to implement a Records Management plan. (10 points)
4. Quality and clarity of work plan. (20 points)
5. Relevant organizational experience. (15 points)
6. Relevant Project Manager's experience. (15 points)
7. Compliance with proposal instructions. (5 points)
8. Results of reference checks. (10 points)
  - a. Was work done on schedule?
  - b. Was work done within budget?
  - c. Describe quality of work product.
  - d. Describe working relationship.
  - e. Describe unique insights, value-added results that contractor produced.

## STATEMENT OF WORK AND CONTRACT TERMS

### EAC RECORDS MANAGEMENT POLICIES AND PROCEDURES

**1.0 Background:** The U.S. Election Assistance Commission (EAC) was established by the Help America Vote Act of 2002 (HAVA). The Commission serves as a national clearinghouse and resource for information with respect to the administration of Federal elections. The Commission conducted three surveys in Fiscal Year 2005: the Election Day survey, the Military and Overseas Absentee Ballot survey, and the National Voter Registration Act (NVRA) survey. These surveys will be conducted in every Federal election year.

The EAC has conducted an extensive amount of research, as well as published numerous reports regarding Election Reform. As of 2005, the EAC has compiled a collection of records regarding a variety of issues, these include reports regarding, (1) Best Practices, (2) National Initiative to address the issue of poll worker recruitment, training and deployment, (3) Election Administration Practices, (4) Meetings convened by the EAC Standards Board, Board of Advisors, Technical Guidelines Development Committee, (5) human factors research relevant to voting systems, and (6) Annual Reports.

The EAC also has documents dealing with a variety of subjects including procurement; votes taken by the commission; press releases; sunshine act notices; voting system certification; test lab accreditations; financial and narrative reports files by State for Federal requirements payments and by Grantees; congressional testimony; and correspondence.

**2.0 Objective:** The principal objective of this contract is to conduct a requirements analysis in order to provide the Election Assistance Commission with a records management system that will facilitate organization and management of the agency's records. Specifically, EAC desires to have identified, (1) which materials are considered official records which must be preserved to ensure complete and accurate documentation; (2) which file and documentation schemes or electronic recordkeeping systems should be established to manage agency records; and (3) support in implementing the records management plan.

**3.0 Scope:** In general the Contractor shall be responsible for requirements analysis records management. The analysis should identify the types, forms and quantities of information EAC receives or creates. Attached to this statement of work is a power point presentation delivered at the Vendor Fair on August 30, 2005 that briefly outlines the EAC activities and source of the associated information products.

The records management requirements analysis activities shall include a review of the entire volume of information that the EAC has collected, an evaluation of what information needs to be retained (i.e., length of retention period), an analysis of what information needs to be published, and an evaluation of what information needs to be made accessible to the public. The EAC will provide all documents and records needed in order for the Contractor to conduct a requirements analysis. The records management activities shall also include developing a plan on how the EAC should manage its records; and training staff on implementing the plan.

#### **4.0 Specific Tasks:**

**4.1 Prepare project work plan.** Prepare and deliver a project work plan for records management. The Contractor shall prepare and deliver a requirements analysis plan addressing how Contractor plans to meet the requirements of the projects tasks, including a timeline indicating major milestones.

**4.2 Conduct records management requirements analysis and prepare report.** The Contractor shall conduct a requirements analysis in accordance with the project plan approved by the EAC Project Manager. This analysis should include an identification and analysis of applicable Federal statutes and regulations. The Contractor shall prepare a summary of provisions regarding records management requirements for independent executive agencies. The Contractor shall examine the types and forms of information the EAC receives or creates in light of these requirements and develop an appropriate classification scheme encompassing types of information, (e.g., agency governance and decision documents, research reports, policy guidance documents), and types of control classification characteristics, such as public records, procurement sensitive materials, corporate proprietary data, internal working papers. This analysis should encompass both hard copy and electronic records.

The Contractor shall prepare a comprehensive report on the findings of the requirements analysis, which identifies at a minimum: (1) materials that are official Federal records, (2) materials that must be preserved to ensure complete and accurate agency records, (3) a summary of how these materials are currently stored and accessed, and (4) recommendations for a records management policy.

**4.3 Prepare records management plan and implementation strategy.** Upon approval of the requirements analysis report by the EAC Project Manager, the Contractor shall prepare a records management plan and implementation strategy. This should include a draft agency records management policy and procedures manual. It also should include an analysis of the existing office automation and IT infrastructure and identification of any changes needed to support EAC's records management requirements. The implementation

strategy should lay out the steps required to establish an EAC records management system and the estimated resource impact (personnel and cost).

**4.4 Assist EAC in implementing the records management plan.** The

Contractor shall assist the EAC in implementing the plan. This includes, but is not limited to, training EAC staff and contractors on records management processes and procedures. It also includes working with EAC staff to review and classify documents in accordance with the approved records classification system; and collecting, organizing, and cataloguing all official records.

**5.0 Contract Type:** The contract type will be Time and Materials.

**6.0 Place of Performance:** The principal place of performance will be the Contractor's place of business and the offices of the U.S. Election Assistance Commission.

**7.0 Period of Performance:** The period of performance is from the date of the award until June 30, 2006.

**8.0 Deliverables/Delivery Schedule:**

Requirements Analysis Project Plan (4.1)	10 days after date of award
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Requirements Analysis Report (4.2)	December 9, 2005
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Records Management Implementation Plan (4.3)	February 16, 2006
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Monthly Progress Reports	Two weeks after the end of every month
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**9.0 Inspection and Acceptance Criteria.** Final inspection and acceptance of all work performed, reports, and other deliverables will be performed at the offices of the EAC. The Contracting Officer's Representative will be named at the time of contract award.

**10.0 Invoicing.** Invoices may be submitted monthly using Standard Form 1034, Public Voucher for Purchases and Services Other Than Personal. Invoices shall be delivered to the attention of:

Ms. Diana Scott  
Administrative Officer  
U.S. Election Assistance Commission  
1225 New York Avenue, N.W., Suite 1100  
Washington D.C. 20005.

**11.0 Accounting and Appropriation Data.** Funding is available for this contract.

**12.0 Contract Terms.** The contract clauses included in this document are the provisions governing this contract. The "Purchase Order Terms and Conditions" on the back of GSA Form 300 do not apply. This form is used only for the purpose of processing contract financial data.

**13.0 General Provisions.** Please reference contract terms in GSA Schedule 36.

# U.S. Election Assistance Commission



Information Management Plan  
and Records Management  
Policies and Procedures

Vendor Fair (Sin #51-504)

August 30, 2005



# Briefing Overview

- EAC Questions
- EAC Overview
- Records Management Needs
- Request for Proposals
- Questions and Answers

# EAC Questions

- What are EAC record keeping requirements?
  - What statutes regarding federal agency operations require record keeping?
  - What “administrative/business” records are required, e.g., personnel, contracts, FOIA, correspondence
- What information should be categorized as “official records”?
  - What are the requirements for retention and access to the records?
  - What procedures are needed to preserve and manage these records?
- What information management infrastructure is needed to support records retention and management and other EAC functions?

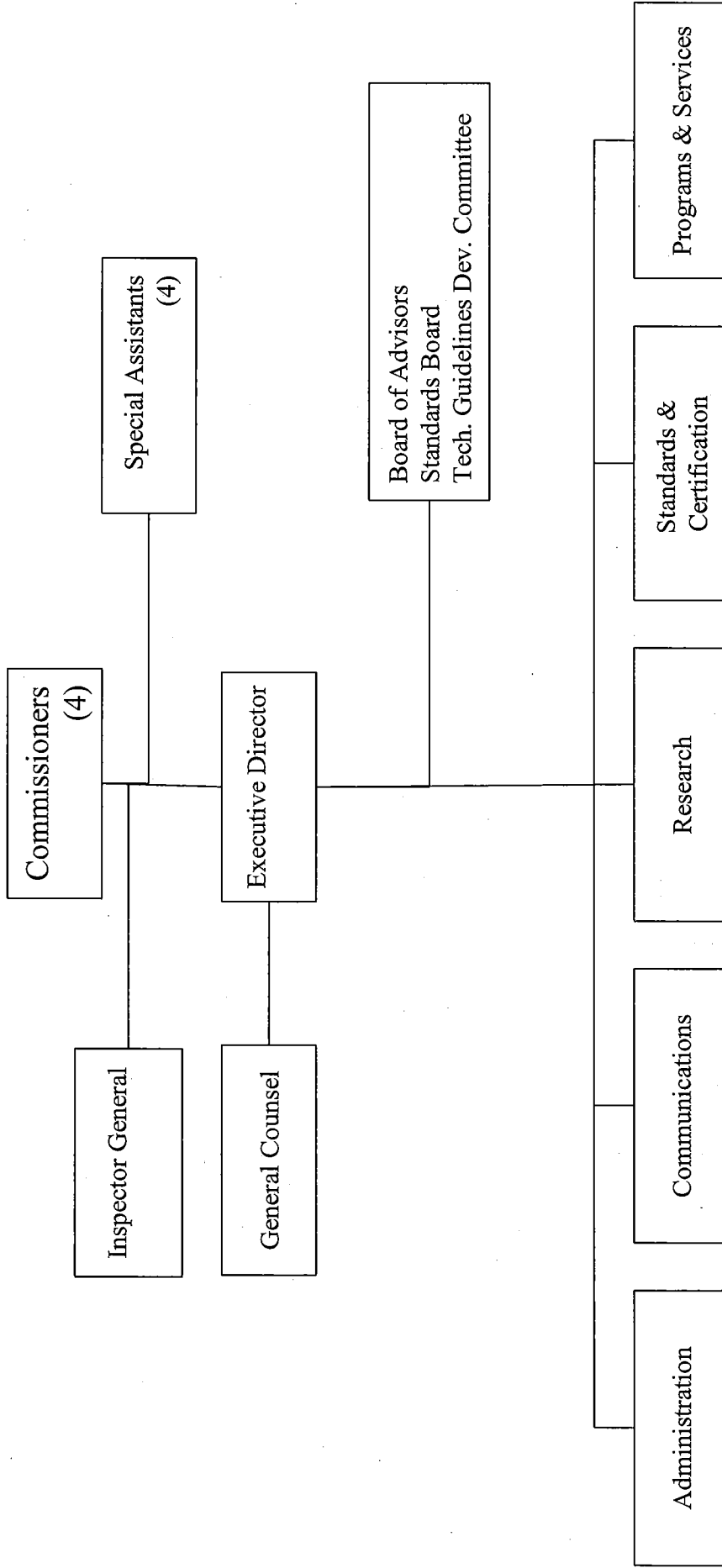
## U.S. Election Assistance Commission

- Established pursuant to the Help America Vote Act of 2002 (Public Law 107-252), passed on October 29, 2002
- Four Commissioners appointed by the President and confirmed by the Senate
- In operation since January 2004
- Operations fully funded as of December 2004

# U.S. Election Assistance Commission

## 2005 Organizational Chart

22 FTEs



# EAC Mandates

- Disburse and audit \$3.2B in payments to States
- Provide for certification, decertification and recertification of voting systems by accredited labs
- Provide guidance and best practices for election administration improvements
- Serve as a National Clearinghouse for Federal Election Administration and HAVA information
- Administer the National Voter Registration Act of 1993 (NVRA), commonly referred to as “Motor Voter”

# Commission Governance Documents

- Decision Process
  - Votes
  - Reports
  - Drafts
  - Public Comments
- Speeches
- Press Releases
- Congressional Testimony
- Correspondence

# Office of the General Counsel

- Public Hearings/Meetings
  - Sunshine Notices
  - Witness Testimony
  - Handouts
  - Transcripts
  - Minutes
- Compliance
- FOIA, EEO, Ethics
- Legislative Liaison
- Legal Interpretations, advisories

# Administration

- Fiscal/Budget Management
- Purchasing
- Office Automation
- Contracts
  - Statements of Work
  - RFPs/RFQs
  - Proposals
  - Source Selection/Materials
- Human Resources
- Facility Management



# Programs and Services

- Requirements Payments to States
  - State HAVA Plans
  - Amendments to State HAVA Plans
  - Annual Financial Reports
- Tally Votes
- Transmittal Memos
- Program Audits
- Poll Worker Initiatives
- Best Practices

# Standards and Certification

- Voting System Guidelines
- Election Management Guidelines
- Test Lab Accreditation
- Voting System Certification
  - Proprietary Business Information
  - Electronic Data Interchange

# Communications

- Media Coordination
- Website Management
- Annual Report
- Clearinghouse
- Publications
- Foreign Briefings

# Research

- Guidance
- Studies
- Surveys
- Documents
- Databases
- Project Plans

# Clearinghouse

- Reports from Outside Groups
- EAC generated materials
- Links to other resources

# Inspector General

- Audits
  - Performance
  - Financial
  - Internal review

## Board of Advisors; Standards Board; Technical Guidelines Development Committee

- Meeting minutes
- Transcripts
- Votes
- Financial disclosure forms